



PTO/SB/08A (10-01)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449/PTO				Complete if known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANTS (use as many sheets as necessary)				Application Number	09/859,661
Sheet	1	of	2	Confirmation No.	3933
				Filing Date	May 17, 2001
				First Named Inventor	Stuart A. Fraser et al.
				Art Unit	3633
				Examiner	James W. Myhre
				Attorney Docket Number	CF-007 Reissue

U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. ¹	Document Number Number - Kind Code ³ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents
Appendix B				
		US2002/0023037	02/21/02	White
		US2004/0030634	02/12/04	Satow
Appendix C				
		6,421,653	07/16/02	May
		6,505,174	01/07/03	Kelser et al.
		6,519,574	02/11/03	Wilton et al.
		US2002/0082976	06/27/02	Howorka

Examiner Signature	Date Considered
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FOREIGN PATENT DOCUMENTS				
Examiner Initials	Cite No. ¹	Foreign Patent Document Country Code ¹ - Number ² - Kind Code ³	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Documents
				Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
				T ⁴

NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		
		APPENDIX A		
		Chicago Mercantile Exchange, Globex, 24 pages, undated.		
		Rumbaugh, J. et al., "Object-Oriented Modeling and Design," pp.84-91, 1991.		
LITIGATION DOCUMENTS				
		eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), ORDER.		
		eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), MEMORANDUM ORDER.		
		eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), OPINION.		

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ A check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANTS**

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Sheet

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of

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Application Number	09/859,661
Confirmation No.	3922
Filing Date	May 17, 2001
First Named Inventor	Stuart A. Fraser et al.
Art Unit	3622
Examiner	James W. Myhre

Attorney Docket Number CF-007 Reissue

<i>JW</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), PLAINTIFFS' OPENING BRIEF IN SUPPORT OF THEIR PROPOSED CLAIM CONSTRUCTIONS.	
<i>JW</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), PLAINTIFFS' MOTION FOR RE-ARGUMENT ON CLAIM CONTRACTION.	
<i>JW</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), ANSWER TO PLAINTIFFS' MOTION FOR REARGUMENT ON CLAIM CONSTRUCTION.	
<i>JW</i>	eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), VIDEOTAPED DEPOSITION OF HITENDRA MANUBHAI ABUWALA.	
<i>JW</i>	1 eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), OPINION AND ORDER RE MOTIONS FOR SUMMARY JUDGEMENT, Oct. 25, 2004	
<i>JW</i>	2 eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), OPINION AND ORDER RE RECONSIDERATION, Jan. 11, 2002.	
<i>JW</i>	3 eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), REVISED JOINT PRETRIAL ORDER AND EXHIBITS(A-J) – PUBLIC VERSION, Jan., 2005.	
<i>JW</i>	4 eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), TRIAL TRANSCRIPTS, Feb. 7 – Feb. 22, 2005, (11 Volumes).	
<i>JW</i>	5 eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), JURY'S VERDICT SHEET, Feb. 22, 2005.	
<i>JW</i>	6 eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), DEFENDANTS' OPENING BRIEF IN SUPPORT OF MOTION FOR JUDGEMENT AS A MATTER OF LAW ON INVALIDITY AND NON-INFRINGEMENT (with Exhibits 1-5), April 4, 2005.	
<i>JW</i>	7 eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), MOTION FOR JUDGEMENT AS A MATTER OF LAW ON INVALIDITY AND NON-INFRINGEMENT, April 4, 2005.	
<i>JW</i>	8 eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), ORDER, April 4, 2005.	
<i>JW</i>	9 eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), DEFENDANTS' PROPOSED FINDINGS OF FACT AND CONCLUSION OF LAW . . . Mar. 28, 2005.	
<i>JW</i>	eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), VIDEOTAPED DEPOSITION OF KENNETH I. GINSBERG, April 22, 2004.	
APPENDIX B		
<i>JW</i>	Clemons, E.K., et al., "Restructuring Institutional Block Trading: An Overview of the OptiMark System," Journal of Management Information Systems, Vol. 15, No. 2, pp. 41-60, Fall 1998.	
<i>JW</i>	Graham, G., "UKNEWS" Electronic Trading: Much More a Small Fizz Than a Big Bang," Financial Times, London Edition, p. 9, October 17, 1997.	

Examiner Signature	<i>James W. Myhre</i>	Date Considered	18 July 2005
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NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶
		<u>APPENDIX A</u>	
		<u>LITIGATION DOCUMENT</u>	
<i>Jm</i>		eSPEED, Inc. et al. v. BROKERTEC USA, L.L.C. et al., C.A. No. 03-612 (KAJ), BRIEF IN OPPOSITION TO PLAINTIFFS' MOTION FOR JUDGEMENT AS A MATTER OF LAW OR, IN THE ALTERNATIVE, FOR A NEW TRIAL, May 23, 2005.	

Examiner Signature	James W. Moyer	Date Considered	18 July 2005
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